



Fee 2165 \$

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application No.	09/751,899	
	Filing Date	December 27, 2000	
	First Named Inventor	David W. Grawrock	
	Art Unit	2165	
	Examiner Name	Hassan Mahmoudi	
Total Number of Pages in This Submission	5	Attorney Docket Number	42390P9844

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input checked="" type="checkbox"/> PTO/SB/08  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">9 cited references -- 1 Foreign Patent Document and 8 Non-Patent Literature Documents</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	July 18, 2006

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
Typed or printed name	Susan McFarlane		
Signature		Date	July 18, 2006



# FEE TRANSMITTAL for FY 2005

Patent fees are subject to annual revision.

Complete if Known

Application Number	09/751,899
Filing Date	December 27, 2000
First Named Inventor	David W. Grawrock
Examiner Name	Hassan Mahmoudi
Art Unit	2165
Attorney Docket No.	42390P9844

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 0.00

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ None ☐ Other (please identify):

☒ Deposit Account Deposit Account Number: 02-2666 Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any additional fee(s) or underpayment of fee(s) under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20. ☒ Credit any overpayments

## FEE CALCULATION

### 1. EXTRA CLAIM FEES

1. EXTRA CLAIM FEES		Extra Claims	Fee from below	Fee Paid
Total Claims	20	23*	0	\$0.00
Independent Claims	3	4*	0	\$0.00
Multiple Dependent				

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	50	2202	25	Claims in excess of 20
1201	200	2201	100	Independent claims in excess of 3
1203	360	2203	180	Multiple Dependent claim, if not paid
1204	790	2204	395	**Reissue independent claims over original patent
1205	300	2205	150	**Reissue claims in excess of 20 and over original patent

\*or number previously paid, if greater, For Reissues, see below

SUBTOTAL (1) (\$) 0.00

### 2. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1051	130	2051	65	Surcharge - late filing fee or oath
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.
2053	130	2053	130	Non-English specification
1251	120	2251	60	Extension for reply within first month
1252	450	2252	225	Extension for reply within second month
1253	1,020	2253	510	Extension for reply within third month
1254	1,590	2254	795	Extension for reply within fourth month
1255	2,160	2255	1,080	Extension for reply within fifth month
1401	500	2401	250	Notice of Appeal
1402	500	2402	250	Filing a brief in support of an appeal
1403	1,000	2403	500	Request for oral hearing
1451	1,510	2451	1,510	Petition to institute a public use proceeding
1460	130	2460	130	Petitions to the Commissioner
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)
1806	180	1806	180	Submission of Information Disclosure Stmt
1809	790	1809	395	Filing a submission after final rejection (37 CFR § 1.129(a))
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))

Other fee (specify)

SUBTOTAL (2)

(\$)

## SUBMITTED BY

Name (Print/Type)	William W. Schaal	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature				Date	07/18/06



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re the Application of:

DAVID W. GRAWROCK

Application No.: 09/751,899

Filed: December 27, 2000

For: **A Platform and Method for Creating a  
Secure Boot that Enforces Proper User  
Authentication and Enforces Hardware  
Configurations**

Art Group: 2165

Examiner: Hassan Mahmoudi

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed). This IDS and IDS Citation Form are being submitted on or before payment of the Issue Fee. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

It is hereby stated that no item of information contained in the Information Disclosure Statement was cited in a patent office in a counterpart application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual associated with the filing or prosecution of the subject application more than three months prior to the filing of the Information Disclosure Statement.

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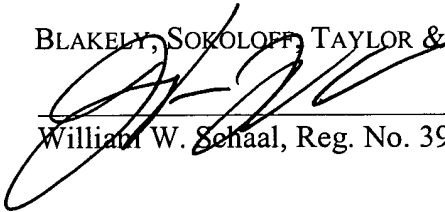
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

The fee set in the amount of \$180.00 for submission of the Information Disclosure Statement is enclosed herewith.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: July 18, 2006

  
\_\_\_\_\_  
William W. Schaaf, Reg. No. 39,018

12400 Wilshire Boulevard, 7th Floor  
Los Angeles, CA 90025  
Telephone: (714) 557-3800

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Susan McFarlane

07-18-06

Date



Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)				Application Number	09/751,899
				Filing Date	December 27, 2000
				First Named Inventor	David W. Grawrock
				Art Unit	2165
				Examiner Name	Hassan Mahmoudi
Sheet	1	of	2	Attorney Docket Number	42390P9844

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.¹	Document Number	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code² (if known)			
		US-5,144,659	09-01-1992	Jones	
		US-5,511,184	04-23-1996	Lin	
		US-5,121,345	06-09-1992	Lentz	
		US-4,975,950	12-04-1990	Lentz	
		US-5,509,120	04-16-1996	Merkin, et al.	
		US-5,224,160	06-29-1993	Paulini, et al.	
		US-5,050,212	09-17-1991	Dyson	
		US-5,210,875	05-11-1993	Bealkowski, et al.	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
		GB 2,121,569A	12-21-1983	Keane		

Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. \*Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet

2

of

2

**Complete if Known**

Application Number	09/751,899
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First Named Inventor	David W. Grawrock
Art Unit	2165
Examiner Name	Hassan Mahmoudi
Attorney Docket Number	42390P9844

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
	1.	BENNETT YEE, "Using Secure Coprocessors," May 1994 CMU-CS-94-149, School of Computer Science, Carnegie Mellon University, Pittsburgh, PA 15213.	
	2.	J.D. TYGAR et al., "Strongbox: A System for Self-Securing Programs," ACM Press and Addison-Wesley, 1991, pp. 163-197, In Carnegie Mellon Computer Science.	
	3.	ROBERT R. JUENEMAN, "Integrity Controls for Military and Commercial Applications," 1988 IEEE, Computer Sciences Corporation.	
	4.	GEORGE I. DAVIDA et al., "Defending Systems Against Viruses through Cryptographic Authentication," 1989, University of Wisconsin-Milwaukee, WI.	
	5.	BUTLER LAMPSON, et al., "Authentication in Distributed Systems: Theory and Practice," Digital Equipment Corporation.	
	6.	FRED COHEN, "A Cryptographic Checksum for Integrity Protection," December 1987, Computers and Security Vol. 6, Issue 6, pp. 505-510.	
	7.	MORRIE GASSER, et al., "The Digital Distributed System Security Architecture," 1989 National Computer Security Conference, Digital Equipment Corp., Boxborough, MA.	
	8.	DEPARTMENT OF DEFENSE, Orange Book - Full Text, "Department of Defense Trusted Computer System Evaluation Criteria" December 1985.	

Examiner  
SignatureDate  
Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

†Applicant's unique citation designation number. Applicant is to place a check mark here if English language Translation is attached.

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